

SSB0005



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Daniel BREEN, et al.

Group Art Unit: 3624

Serial No.: 10/820,876

Examiner: To Be Assigned

Filed: April 9, 2004

For: **SYSTEM AND METHOD FOR INTEGRATING A CONVERTIBLE SECURITY
WITH A CALL SPREAD**

TRANSMITTAL OF MISSING PARTS OF NONPROVISIONAL APPLICATION

U.S. Patent and Trademark Office
220 20th Street South
Customer Window, Mail Stop Missing Parts
Crystal Plaza Two, Lobby, Room 1B03
Arlington, VA 22202

Sir:

Responsive to the Notice to File Missing Parts of NonProvisional Application -- Filing Date Granted mailed June 21, 2004, the following items are submitted herewith to complete the formal filing requirements for the above-identified application:

- (1) Declaration for this patent application executed by the inventors;
- (2) Petition for One-Month Extension to File;
- (3) Checks for the following:
 - \$130.00 for surcharge fee pursuant to 37 C.F.R. § 1.16(e);
 - \$110.00 for one-month extension fee pursuant to 37 CFR § 1.17(a)(1);

and

(4) A copy of the Notice to File Missing Parts of NonProvisional Application -
Filing Date Granted mailed on June 21, 2004.

If any additional fees are required in connection with the filing of this response, the Commissioner is hereby authorized to charge the same, or to credit any overpayment, to Deposit Account No. 501458. A duplicate copy of this correspondence is enclosed for that purpose.

Respectfully submitted,

44,465

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George T. Marcou (Reg. No. 33,014)

Date: 8/25/04
KILPATRICK STOCKTON LLP
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UNITED STATES PATENT AND TRADEMARK OFFICE

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UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
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Alexandria, Virginia 22313-1450
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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/820,876	04/09/2004	Daniel Breen	SSB0005-US

27510
KILPATRICK STOCKTON LLP
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WASHINGTON, DC 20005



CONFIRMATION NO. 9271
FORMALITIES LETTER



OC000000013006047

Date Mailed: 06/21/2004

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is **\$130** for a Large Entity

- **\$130** Late oath or declaration Surcharge.

Replies should be mailed to: Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

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*A copy of this notice **MUST** be returned with the reply.*



Diane Welch
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE